

U.S. DEPARTMENT OF ENERGY
NATIONAL TRANSPORTATION PROGRAM, ALBUQUERQUE
Standard Operating Procedure

Title: Requirements for NTP–A and/or Contractor Program Lead to Perform Initial Carrier Screening

Procedure No:

NTP–A-MCEP.001

Revision No:

0

Date:

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1. PURPOSE

This procedure specifies a consistent approach to performing Stage 1 Initial Carrier Screening activities in compliance with the requirements identified in the Motor Carrier Evaluation Program (MCEP) Management and Methodology Plans.

2. SCOPE

This procedure applies to the U.S. Department of Energy's (DOE) National Transportation Program–Albuquerque (NTP–A) and/or contractor Program Lead performing initial carrier screening activities as identified in the MCEP Management and Methodology Plans.

3. REQUIREMENTS, REFERENCES, ACRONYMS, AND DEFINITIONS

3.1 Requirements

- a. National Transportation Program *Motor Carrier Evaluation Program (MCEP) Management Plan Revision 6*.
- b. DOE Order 460.2, Change 1, "Departmental Materials Transportation and Packaging Management," September 27, 1995.
- c. DOE Order 460.2, Change 1, "Contractor Requirements Document," September 27, 1995.
- d. DOE G-460.2-1, "Implementation Guide for Use With DOE Order 460.2," November 15, 1995.
- e. DOE Order 200.1, "Information Management Program," September 30, 1996.

3.2 References

- a. *Code of Federal Regulations*, Title 10, Part 71, "Packaging and Transportation of Radioactive Material," as amended.
- b. *Code of Federal Regulations*, Title 40, Part 263, "Standard Applicable to Transporters of Hazardous waste," as amended.
- c. *Code of Federal Regulations*, Title 49, Parts 100-180 as applicable, "Hazardous Materials Regulations," as amended.
- d. *Code of Federal Regulations*, Title 49, Parts 40 and 353-399 as applicable, "Federal Motor Carrier Safety Regulations," as amended.

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3.3 Acronyms

ASME	American Society of Mechanical Engineers
CT	Cargo Tank
DOE	U.S. Department of Energy
DOT	U.S. Department of Transportation
HAZMAT	Hazardous materials
MCEP	Motor Carrier Evaluation Program
NTP–A	DOE National Transportation Program-Albuquerque
RSPA	Research and Special Programs Administration

3.4 Definitions

MCEP NTP–A Program Manager: Provides functional oversight and approval of MCEP activities; defines policy; determines procedures; directs funding allocation; and controls dissemination of information from the evaluation process to the field.

MCEP Contractor Program Manager: Provides day-to-day management of MCEP activities under the direction of the NTP–A Program Manager.

MCEP Program Lead: Ensures initial carrier screening is performed; schedules onsite evaluations; ensures accuracy of documentation received from carriers and distribution of information submitted to NTP–A; evaluates information on carrier performance metrics received in any of the three stages of the MCEP process; and ensures that evaluators (MCEP team Members) are both qualified and trained.

MCEP Team Member(s): Individuals qualified by experience and/or training to participate in the MCEP process as evaluators in any of the initial carrier screening, onsite evaluation, or carrier monitoring stages.

4. GENERAL

Carriers will be selected for initial carrier evaluation:

- Upon request by a site or a DOE Field Office (at NTP–A direction)
- Prior to utilization following signing of a contract with DOE or a DOE contractor (if the carrier has not been previously evaluated by the MCEP)

Carriers will be informed that either refusal to participate in an evaluation or failure to comply with the request for documentation will result in a recommendation of nonuse for the movement of DOE-owned radioactive materials and hazardous waste.

In every instance where external documentation is obtained that may reflect on a carrier's ability to be approved or to remain approved under the MCEP, copies of such documentation will be provided to the carrier for the carrier's information and response.

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New carriers need not be evaluated prior to bidding on a task. However, after a task and scope of work are awarded, a carrier must be successfully evaluated before it is permitted to transport DOE-owned materials of the types and configurations identified in the MCEP Management Plan.

Carriers who do not meet the requirements for inclusion into the Motor Carrier Evaluation Program may still participate in the MCEP through the initial carrier screening and carrier monitoring stages only. For example, a less-than-truckload carrier, in most cases, may not transport truckload quantities or Highway-Route-Controlled-Quantity activity levels of radioactive materials. However, the general requirements of the program can extend to motor carriers regardless of the types of hazardous commodities transported. Therefore, carriers who do not meet the basic requirements for an MCEP onsite evaluation could still participate in the program. Any carrier participating in the MCEP program will have to meet all of the MCEP initial carrier screening and carrier monitoring criteria for transporting DOE-owned commodities.

5. PROCEDURE

Attachment A contains a flow diagram depicting the overall work process associated with this procedure.

6. RECORDS

Records generated as a result of this procedure are to be identified, classified, and prepared in accordance with DOE Order 200.1, and managed in compliance with the requirements specified in DOE Guidance 200.1. At minimum, the following are to be considered Quality Assurance records:

SafeStat Report
SafetyNet Report
MCEP Carrier Identification Report
SAFER Report
Dun & Bradstreet Report (as applicable)
Securities and Exchange Commission Report(s) (as applicable)
Initial Carrier Contact Letter

7. ATTACHMENTS

Attachment A - Initial Screening Process Flow Diagram
Attachment B - MCEP Carrier Identification Report
Attachment C - List of Requested Documents
Attachment D - Initial Carrier Contact Letter (Example)

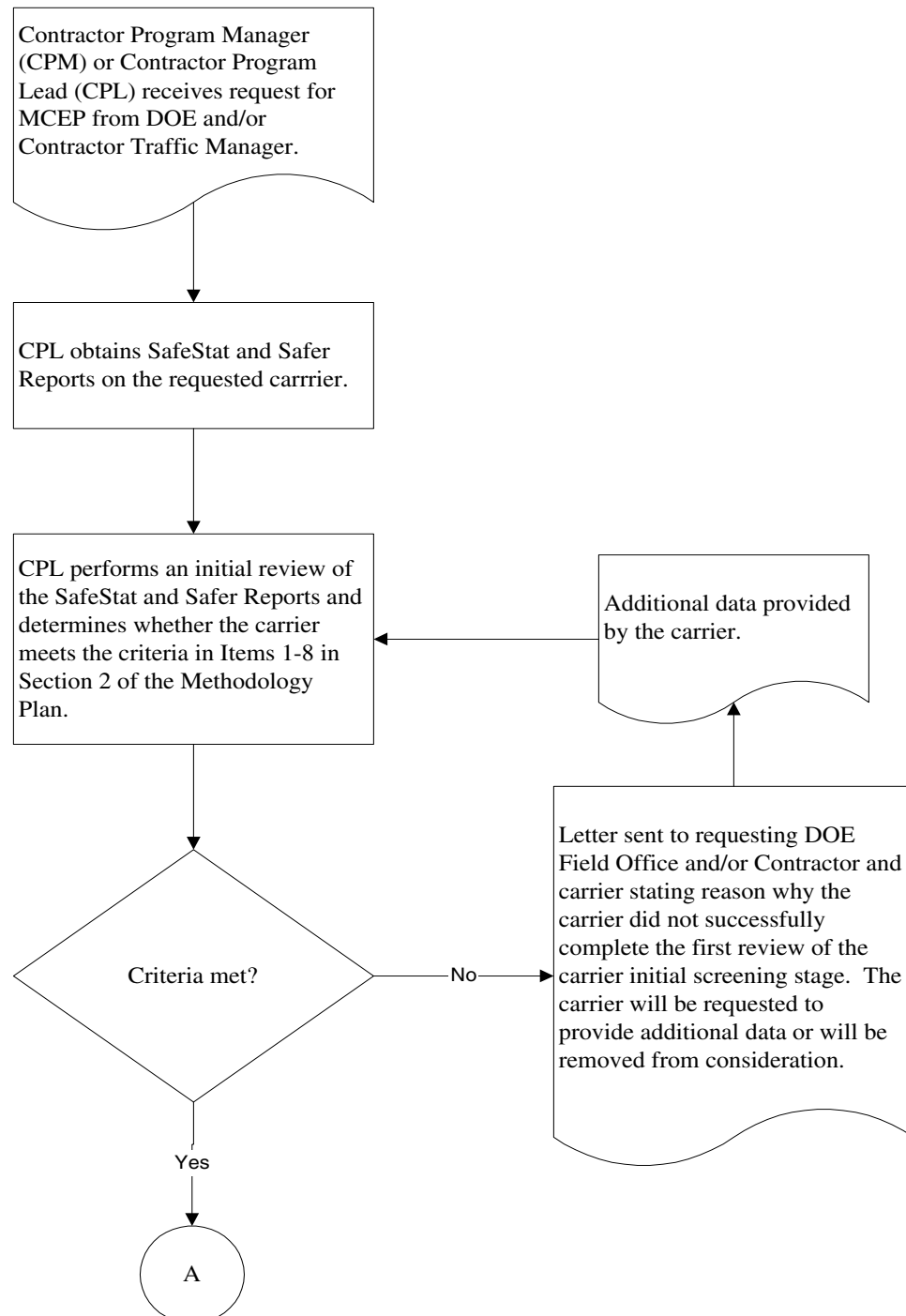
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8. REVISION LISTING

Revision Number	Description	Revision Date
0	NTP–A-MCEP.001	June 2001

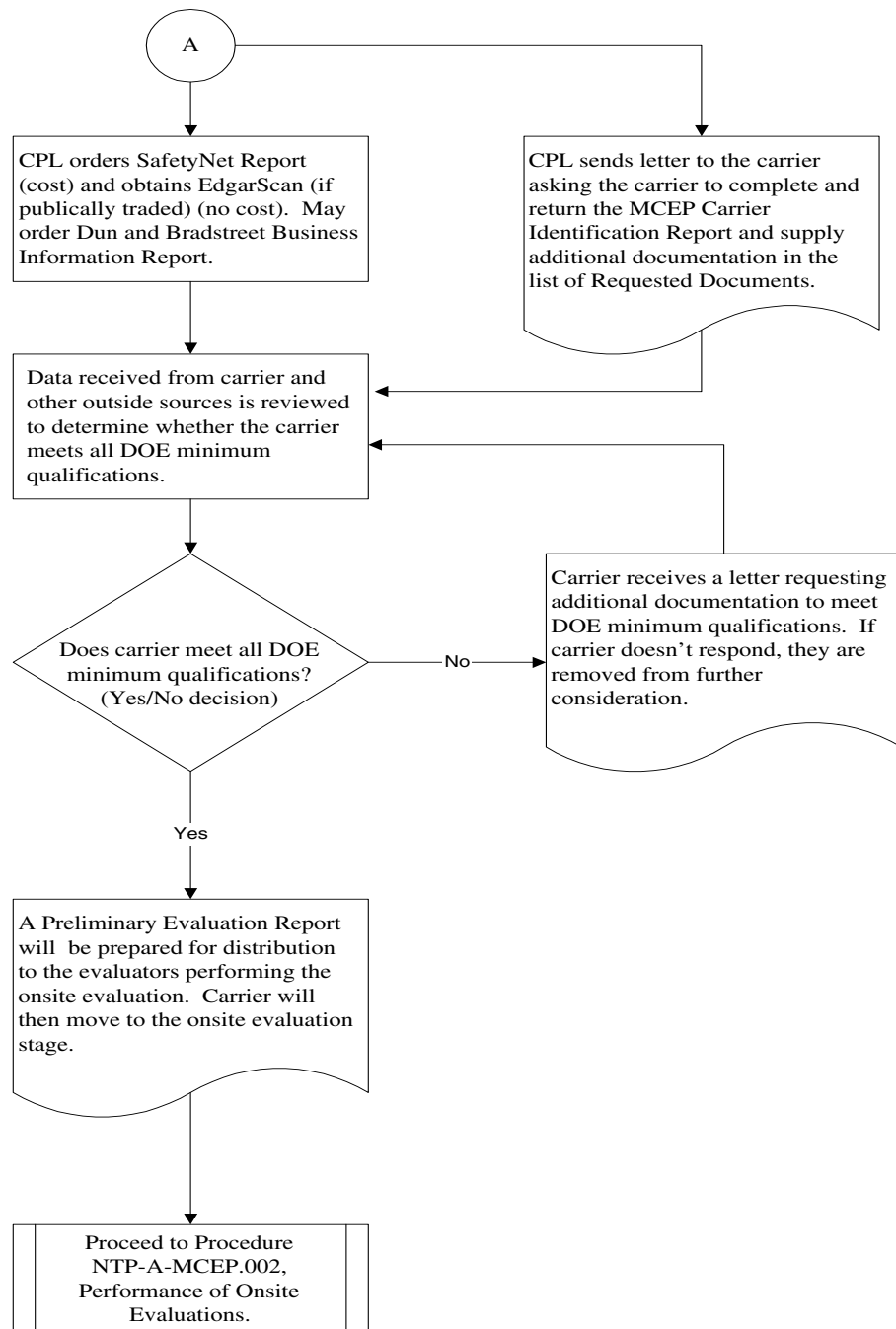
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Attachment A **Initial Carrier Screening Process Flow Diagram**



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Attachment A (cont.)
Initial Carrier Screening Process Flow Diagram



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Attachment B

MCEP Carrier Identification Report

1. Name of Motor Carrier/HM Shipper				2. Trade or D.B.A. (Doing Business As) Name			
3. Street Address				4. Mailing Address (P.O. Box)			
5. City	6. State/Province	7. Zip Code + 4	8. Mailing City	9. State/Province	10. Zip Code + 4		
11. Principal Phone Number		12. Principal FAX Number		13. Contact Name and Phone Number			
14. USDOT No.	15. MC or MX No.	16. Dun & Bradstreet No.	17. Internet email Address				
18. Current Mileage Year		19. Mileage – Previous Year Year		20. Mileage – 2 yrs Previous Year			
21. Current Bankruptcy Filing <input type="checkbox"/> Yes <input type="checkbox"/> No Type of Filing State and Date of Filing				22. IRS/Tax ID # EIN # SS #			
23. Type of Carrier (Circle all that apply) A. Less Than Truckload B. Truckload C. Transcontinental D. Regional E. Local F. For-Hire Carrier G. Private Carrier							
24. Cargo Classifications (Circle All That Apply) General Freight Hazardous Materials Bulk Packages Radioactive Materials							
25. Hazardous Materials Carried <div style="display: flex; flex-wrap: wrap;"> <div style="width: 33%;"> <input type="checkbox"/> Class 1 Explosives <input type="checkbox"/> Div 1.1 <input type="checkbox"/> Div 1.2 <input type="checkbox"/> Div 1.3 <input type="checkbox"/> Div 1.4 <input type="checkbox"/> Div 1.5 <input type="checkbox"/> Div 1.6 <input type="checkbox"/> Class 2 Gases <input type="checkbox"/> Div 2.1 <input type="checkbox"/> Div 2.2 <input type="checkbox"/> Div 2.3 </div> <div style="width: 33%;"> <input type="checkbox"/> Class 3 Flammable Liquids <input type="checkbox"/> Class 4 Flammable Solids <input type="checkbox"/> Div 4.1 <input type="checkbox"/> Div 4.2 <input type="checkbox"/> Div 4.3 <input type="checkbox"/> Class 5 Oxidizers <input type="checkbox"/> Div 5.1 <input type="checkbox"/> Div 5.2 <input type="checkbox"/> Class 6 Toxic Materials <input type="checkbox"/> Div 6.1 <input type="checkbox"/> Div 6.2 </div> <div style="width: 33%;"> <input type="checkbox"/> Class 7 Radioactive Materials <input type="checkbox"/> Low specific activity <input type="checkbox"/> Surface-contaminated object <input type="checkbox"/> Type A <input type="checkbox"/> Type B <input type="checkbox"/> Highway route controlled quantity <input type="checkbox"/> Class 8 Corrosive Materials <input type="checkbox"/> Class 9 Misc. Hazardous Materials <input type="checkbox"/> Wastes <input type="checkbox"/> Low Level <input type="checkbox"/> Other <input type="checkbox"/> High Level <input type="checkbox"/> Transuranic waste <input type="checkbox"/> Mixed <input type="checkbox"/> Polychlorinated biphenyls <input type="checkbox"/> Hazardous <input type="checkbox"/> Spent reactor fuel </div> </div>							

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Attachment B (cont.)
MCEP Carrier Identification Report

26. EPA Transporter Registration No. _____	27. RSPA Hazmat Registration No. (include current copy of certificate) Reg. No. _____ Expiration Date _____		28. Liability Insurance Coverage (include current copy of MCS-90 and Accord Form) Amount _____ Expiration Date _____	
29. Equipment	Owned	Leased	Owner/Operator	
Straight Trucks				
Truck/Tractors				
Van Trailers				
Flatbed Trailers				
Cargo Tank Trailers	Dry : Liquid	Dry : Liquid	Dry : Liquid	
Dump Trailers				
Roll On/Roll Off Trailers				
Intermodal Waste Boxes				
Specialized Equipment (i.e. containment floors, etc.)				
Other (Specify)				
30. Drivers Subject To FMCSR:				
Union _____ Non-Union _____ Owner/Operators _____				
100-Mile Radius _____ Total Drivers _____ Total CDL Drivers _____				
Completed by: _____ Title: _____				
Date: _____				

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Attachment C

LIST OF REQUESTED DOCUMENTS

- A. Copy of Operating Authorities
- B. Copy of Alcohol Misuse/Controlled Substance Use Policies/Procedures
- C. Interstate Commerce Commission Form M, Securities and Exchange Commission Form 10K Report, or Most Current Income Statement and Balance Sheet
- D. Organization Chart
- E. Carrier Quality Assurance Program
- F. Brief History of the Company
- G. Hazardous Materials (HAZMAT) Employees Training Program
- H. List of all identified HAZMAT employees by category or by training requirements
- I. Emergency Response Procedures/Plan
- J. Copy of Driver's Safety Awards Program & Disciplinary Policy
- K. Copy of the Maintenance Program
- L. Policy on maintaining and auditing Drivers' Record of Duty Status
- M. Complete copy of most recent DOT Compliance Review
- N. Copy of Confined Space Entry Policy and Procedures (if applicable)
- O. Copy of American Society of Mechanical Engineers (ASME) Board "R" Stamp (if applicable)
- P. Copy of your letter to Research and Special Programs Administration (RSPA) requesting a Cargo Tank (CT) number (if applicable)
- Q. Copy of the letter from RSPA with the CT number (if applicable)

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Attachment D
Initial Carrier Contact Letter (Example)

Name
Title
Company
Address
City, State, Zip

Dear Mr./Mrs./Ms.:

Re: U.S. DEPARTMENT OF ENERGY MOTOR CARRIER EVALUATION PROGRAM

Per our conversation of (date), I would like to thank you for the opportunity to evaluate (name of carrier) on behalf of the U.S. Department of Energy (DOE), National Transportation Programs–Albuquerque (NTP–A), Motor Carrier Evaluation Program (MCEP).

The purpose of this program is to evaluate carriers to ensure that only those that are highly qualified are utilized to transport commodities for DOE and its contractors, especially hazardous materials including radioactive materials and hazardous waste.

To evaluate your carrier operations and management systems fully, it will be necessary for you to complete and return the MCEP Carrier Identification Report (CIR) and the List of Requested Documents by (two weeks from date of letter) in the supplied Airborne Express envelope.

When all of the requested information is returned, the evaluation team will review the materials. If any carrier is unable to meet the minimum requirements, they will be contacted regarding any incomplete or unavailable data. It should be noted that refusal either to participate in an evaluation or to supply the requested documentation will result in a recommendation of nonuse for the transportation of DOE-owned radioactive materials and hazardous waste.

This evaluation/validation process also will provide your company with specific information about DOE NTP–A expectations for those carriers selected to transport DOE-owned radioactive materials and hazardous waste. If you have any questions regarding the MCEP, completing the MCEP CIR, or the possibility of an onsite visit, please call (name) at your earliest convenience.

Respectfully,

(Signature and Title)

Enclosures